



University of Connecticut
Office of the President

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JAN 27 2012

Philip E. Austin
President

July 6, 2004

The Honorable Richard Blumenthal
Attorney General
55 Elm Street, P.O. Box 120
Hartford, CT 06141-0120

Re: Complaint of Ronald Kuptzin

Dear Attorney General Blumenthal:

This is in response to your correspondence of May 25, 2004 regarding a written complaint against a representative of the Connecticut Small Business Development Center (CSBDC) at the University of Connecticut. The complaint specifically alleges the violation of a conflict of interest agreement by a counselor and representative of the CSBDC. You have requested that the University conduct an investigation to determine if any rules or requirements were violated by the alleged conduct of the named representative.

The enclosed documentation from Dennis Gruell, State Director of the CSBDC confirms that an investigation by the University resulted in the substantiation of the allegations set forth in the written complaint. Accordingly, and as also confirmed by the attached document, the contractual agreement between the University and Louise Kahler was terminated as of May 31, 2004.

Thank you for bringing this matter to my attention and please do not hesitate to contact me in the event there are any questions or if you wish to discuss this matter further.

Sincerely,

c: Dennis Gruell
Ronald Kuptzin ✓
Paul S. McCarthy, AAG

An Equal Opportunity Employer

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JAN 27 2012

COVER LETTER

Attention: Ms. Patricia Faison-Ball, Esq.
Office of Petitions

11 pages including this one

From: Ronald Kuptzin
860-245-5952

RE: US PATENT # 6,438,995 B1
APPLICATION # 09/619,286

January 7, 2012

Dear Ms. Ball,

First off, I would like to thank you for spending your valuable time yesterday on the phone with me; I truly appreciated your kind ear.

Our 28 year journey in pursuit of our happiness has been one filled with its many ups and downs; one that I would not trade for anything in this world. It took us from, "we're going to be rich" to "how can we change the world?" We found out that the patent is not just a legal document that is governed by an agency. It is far more than that, it is an accomplishment that very few ever attain and very few achieve success with (5%). In fact Ms. Ball, other than my marriage, it was my finest achievement. I did respect it and, in fact, I loved it with all my heart and soul. Someone tried to steal it from me from an illegal standing by filing a patently false law suit against me. That law suit brought me to my knees and hospitalized me, twice. On top of the cost to attain the patent pending and finally the patent, the costs were over 60K dollars. Then it cost me another 15K dollars to defend a law suit that sought my patent as the best way to satisfy the suit, since I was broke and indigent due to the plaintiff. Thankfully, I was able to prevail and save my patent. The point is, I saved the patent...for what? So that the US Patent Office can take it back from me so as to NEVER experience the success to any degree and have wasted a life? That is what I tell you from my heart, I respect my patent and the responsibilities attached to it so dearly and gratefully that I fought for my American Dream with my last ounce of courage. I apologize from the core of my being for ANY perceived disrespect to the US Patent Office due to my Unavoidable circumstances as you will read in the attached letter detailing how I find myself where I am today within your office.

I hope that your years of experience and your good common sense (that corresponds with your authority to re issue our valuable and priceless patent), will lead you to the right decision for all parties. After all, once you read our enclosed plea and facts, ask yourself if the laws you are charged to enforce were meant to protect ANYONE who would not sympathize with us and agree that to re issue would be OK with them. I believe that ANYONE who those laws were meant to protect (after reading the enclosed letter) could only say, "There, but for the Grace of God, go I".

Respectfully,

Ronald S. and Cynthia G. Kuptzin
27 Rossie Street
Mystic, Connecticut 06355
860-245-5952 (home)

Attached Letter

Dear Ms. Ball,

Ronald S. and Cynthia G. Kuptzin are life long residents of the New London County for over 60 years. Ronald was raised in Groton and Ledyard while Cindy has been a resident of Mystic her entire life. Her family settled in Mystic in the 1800s and she is the direct descendant of the founders of the Mystic Seaport, the Greenman Brothers. Ronald is the son of the late Albert Kuptzin who brought his family to Groton in 1952 to take a position with Electric Boat as a designer of the USS Nautilus and many submarines thereafter. Ronald's mother was a well respected teacher for over 39 years in the Groton School Systems. Cindy's mother was the personal secretary to Admiral H. Rickover during her many years at Electric Boat, while her father Henry George Greenman III worked at EB for nearly four decades. We have been a proud and productive family in this area all of our lives. Cindy and Ronald have been married for 31 years in October.

Soon after our marriage we began to build a future for ourselves working hard, as Ronald was a wedding photographer and Cindy a cosmetologist in an upscale salon. Just three years into our marriage Cindy had begun to collect and receive gold bracelets as gifts. The collection began to grow and as it did her fear of losing those precious and sentimental chains did, too.

It was on a vacation/visit to Puerto Rico in 1983 where my mothers' distinguished family resides. It was wonderful chance to show Cindy where I spent my summers on my grandfathers' farm as a youth. One of the highlights on our 17 day getaway was visiting Old San Juan where the shopping and night life is abundant. The shopping, of course, included shopping for gold bracelets among the 81 jewelry stores in one square mile. Every several days Cindy purchased a new bracelet. The problem was that each day she had to count them and obsess about losing them. Not only that, each day that we went to our favorite beach (Escambró) in Old San Juan, she had to remove them as to not lose one while swimming. Guess who had to put them all back on for her? ME!

Then on the end of the trip I bought Cindy a very special bracelet that I presented to her at a very special romantic dinner. This only added to the anxiety of losing it and any of the others. Well, it was the last day to go to the beach and again Cindy wanted to take them all off before heading to the beach. As I was standing there at my Aunt Marinas dresser and Cindy was beginning to remove the bracelets, I looked down at the dresser and low and behold I spotted a safety pin. My mind clicked for some reason and I took the safety pin and inserted it through all the soldered eyes of the bracelets and closed the safety pin and said, "There, now you'll never lose one." To her amazement she thought it was ingenious, but certainly not convinced yet.

We went to the beach and set up our blanket and decided right away to take a swim to beat the heat. Cindy and I were embraced in the water and enjoying our last day of the Caribbean Ocean when Cindy raised her hand out of the water only to find her brand new bracelet I just gave her, hanging from the safety pin...IT WORKED!! That began our journey through the American Dream.

After many months of discussion upon our return from Puerto Rico we decided to take the plunge and become bonafide inventors. It took years to research, develop, and work three jobs each to afford to pay our bills, invest monies for Research and Development, and continue to live a normal newlywed life.

We spent countless hours, months and years trying to find manufacturing and simultaneously explore the possibility of receiving a US Patent or Pending. To our amazement, we found a patent attorney, Mr. Edward Segal, Esq. who encouraged us to proceed with the application for a Patent Pending. The expense of this process was enormous and we worked even harder and longer to afford this priceless opportunity to be a patented inventor. Finally, we were granted the US Patent Pending in 1985. This opened up the ability to begin to speak freely to the many sources that Providence, Rhode Island had to offer considering that it is the jewelry capital of the world. That was the fortunate part for us due to its close proximity to our home. We soon developed a close and trusted working relationship with a premiere jewelry manufacturer and its' brilliant owner/craftsman, Mr. Dave Goodell. While Dave continued to develop the patented feature of our product, Cindy and I named it Fill-A-Pin and created a DBA named Fill-A-Pin Industries. We now had a company, and the journey began to take on a life of its own. We raised monies from private investors, (family and friends), and we were then able to create and produce our own packaging and some selling tools.

However, resources began to dwindle and the expenses began to rise as we gained steam in our pursuit. We no longer could work enough hours in a day to support our endeavor and pay our monthly expenses. We had a balloon mortgage that was coming due in the summer of 1998 and we simply could no longer support this home and our business. Unfortunately for us, the owner of the home had us evicted when the payment came due and we could not meet that obligation. We literally were removed to the street and all of our possessions, including all my photography equipment, went into a forced storage. We lived out of our car with our two dogs for about 3 months. We stayed in many parks and parking lots before being taken in by family and friends for weeks at a time. This was easy to cope with because we had a dream and we were willing to do anything in pursuit of the American Dream. We were broke and humiliated, but managed to raise 150K dollars out of that car nevertheless, in order to continue. Ms. Kahler (to be introduced below) was with us during this trying time and vowed to help us through; she saw our character on display and encouraged us to keep going. And, so we did. Cindys' parents offered us a very unfinished room in the basement of their very modest home in Mystic. I slept on the floor on Ms Kahlers fathers' old mattress that she donated to me, and Cindy slept on a short couch for months. However, we managed to continue doing our life's work out of that one room and endure the inconveniences of someone else's home and lack of our privacy. To date we still reside in that home, and after ten years in one room with no light, we finally renovated the rest of the basement into a small apt. (via Cindys' parents funding) in able to attend to Cindys' now aging parents. Her mom is 85 and her father who is 93 exist on a modest retirement. They assist us even today with our small monthly bills in lieu of taking care of them in their failing health. We are now committed to remaining with them until their passing, no matter the level of our future success.

We then began our test marketing of the product at local colleges, trade shows, flea markets, and many other venues. The feedback was beyond fantastic and we were following our gut feeling since there is no book, class, or preparation for the invention process for ordinary lay persons, such as our selves. You are pretty much on your own to make mistakes and unfortunately waste monies. We estimate that to date, together with the cost of gold we have purchased, the hours of labor, the pro-bono time from all the experts along the way, the manufacturing, the packaging, the commercial for TV that we produced in Hollywood, California (which we will proudly show you), and all the expenses beyond these, we have spent the equivalent over 1.2 million dollars. That also includes the \$5K that we had to humbly ask Ron's mother for in order to defend Ms. Kahlers false lawsuit.

From 1984 when we truly began pursuing this opportunity, until March 1997, we struggled and we made significant progress and although it may seem like a long time to develop this product, it just takes the time it takes because this product was not anyone else's dream, but our own. People along the way took their time in all aspects of their involvement in our product, but nonetheless, we were very appreciative and grateful for their assistance. Then it dawned on us, maybe we need a plan, a road map if you will. It was recommended to us that perhaps we should create a business plan. Never having done one before, someone suggested that we contact The Small Business Development Center for the State of Connecticut located at Avery Point in Groton, Connecticut. Cindy called and we were given an appointment for March 23, 1997. We met with a counselor named Ms. Louise Kahler. We signed all the papers required by this agency in order to speak freely and still protect our intellectual property, and qualify us for assistance under this program. Ms. Kahler was also an adjunct professor in business at Southern State College and UCONN at Storrs, Connecticut.

After viewing all of our materials and product/packaging, Ms. Kahler became very interested in our product and taking us on as clients. Our enthusiasm began to peak and we went to work doing Ms. Kahlers' assignments she gave us. At that time we did not own a computer so we did all the assignments clearly and accurately on a portable Royal Typewriter. I think this impressed Ms. Kahler to the point that she then offered us her home to come do our work on her personal computer. Eventually, after seeing how well we worked on her PC, she bought us our own PC (violation #1 of her contract). By 1998, Ms. Kahler had taken us to the law firm of Pepe & Hazard located in Hartford, Connecticut, and introduced us to a patent attorney Peter Costas, Esq. who reviewed our patent pending and said he would pursue the US Patent. Ms. Kahler also committed us to another attorney in that office, Walter Simmers, Esq., who was also the Chief Office Manager for Pepe & Hazard. We forged an incredible relationship with Attorney Simmers who is full witness to the events that transpired in the future with Ms. Kahler. Attorney Simmers was hired to create our LLC (Fill-A-Pin Industries) and it was completed, filed and billed to a brand new company with virtually no funds to the tune of over 60K dollars. For the record, there is a program offered *free* in conjunction with the SBDC that provides for Attorneys and Accountants for small businesses getting started until they can afford their own. Ms Kahler could not take us there because she was in

violation of her contract by being apart of our company. She would have been exposed as we later learned.

From that basement we managed to manufacture the product, design/create a new packaging, and most importantly we produced a two minute and one minute Direct Response TV commercial under the direction of the nation's most successful writer/producer of DRTV of the industry. Our director of photography for our filming was the director of photography for Bay Watch TV series. Our final product is award winning! While we were in California filming the commercial with Mr. Jim McNamara, Ms Kahler was in her home in Connecticut in the office space that she provided free to the company in order to save money on company expenses. She called us from the office on July 7, 2002 to congratulate us, the US Patent #6,438,995 BI was granted to Ronald S. Kuptzin and Cynthia G. Kuptzin and issued on August 27, 2002.

Ms. Kahler became our CFO of Fillapin Industries,LLC and eventually invested 25K dollars in the company she was a legal member of and at no time did she divulge to us that it was illegal and a breach of her contract with the state of Connecticut. Little did we know that Ms. Kahler deceived us into believing that she could participate in our venture because she no longer was simply a counselor, but that she now was promoted to Regional Director of The Small Business Development Centers for The State of Connecticut.

We finally completed the detailed business plan, met with the representative of the SBA, and proudly received approval to seek funding through any SBA approved bank. Ms. Kahler accompanied Cindy and I to many banks seeking funding for the purpose of manufacturing and marketing our company product. Ms. Kahler under the terms of her contract with the state could only assist with answering questions from the lenders; not advocate for her own gains. She signed loan applications from several local banks, even when the disclosure on the bank contracts acknowledged that no one associated with SBA would eligible to apply for these types of loans. Again, Cindy and I had no idea that she was breaking the law or at least breaching her contract by that act alone.

The problem was that I began to see that Ms. Kahler was so busy with her jobs that she actually was doing very little, if any, work on the business. When I asked her how can we build a business if you don't produce the work I require of you she replied, "As soon as we get on the air with the commercial, it will take care of itself." A huge red flag went up in my mind and I then consulted with Mr. Dave Goodell who was still working side by side with the company as our manufacturer. As I described earlier, Mr. Goodell owned and operated three large jewelry manufacturing plants over the years and knows precisely how a business is operated. Mr. Goodell said he was quite concerned at what I relayed to him. This began the process whereby I contacted Mr. Walt Simmer (the company attorney) at Pepe & Hazard and he then scheduled a meeting up in Hartford, Ct. between himself and Ms. Kahler to discuss the books and records. This caused an alarm in her

mind and she attended the meeting with her resignation in hand and a bunch of finger pointing at Cindy and Ron. For the record, no member of the LLC had the right to withdraw and resign without the consent of the majority, Ronald and Cynthia Kuptzin. This is just another example of her disregard for a signed contract (as with her jobs). For clarity sake, her attorney declared the company attorney a conflict of interest and, therefore, created our need to seek outside legal assistance (more \$\$\$). However, I am 100% sure that Attorney Walt Simmers would be more than willing to corroborate our facts as we forged a great relationship during this trying time. (860-522-5175)

It was Mr. Simmer's concern that Ms. Kahler, as CFO, kept no records, a checkbook that looked as if a 14 year old was managing it, including thousands of dollars in bounced checks due to her dereliction of duties. Furthermore, she never filed any Federal Income Taxes albeit we had made no money. Nevertheless, that certainly would have sent up red flags with the IRS. She mismanaged all of our company money and caused us to become in debt from the beginning. After she handed in her resignation and blamed Cindy and Ron for not cooperating with her (BS), Attorney Simmers said to her, "Louise, blame is blame, but as CFO what are you going to do about this situation." She got up and left. What did she do? That following May 2003, she served us with a patently false law suit represented by Attorney Jeffrey Knickabacher of the Law Office of Attorney Robert Zigler. (see: New London, Connecticut Superior Court Case #CV 030565856). Since we had zero assets to remedy this false lawsuit, Ms. Kahler sought our patent as remedy.

This is where the hell began and continues even to today. Ms. Kahler sought to bankrupt us personally knowing full well that we had no further funds to defend this law suit and that we had over the many years tapped all of our resources. She tried to destroy the very people the state sought to help. We were trying to build a business that created jobs, raised taxes for the good state of Connecticut, and achieve the ultimate goal of attaining our American Dream that would have made our elderly parents very proud of their children. Understand this please, it finally wasn't about the money...it was all about doing for our Lord that which He seeks from all of us...you might say.. Simply making a difference; whether just in our community or around the world if given the chance. I always believed that our forefathers gave up their blood and gave up their lives to create a nation that provided all its men and women the right to pursue their happiness and that our obligation to them is to have never allowed them to die in vain for such a worthy cause. Ms. Kahler tried to prevent that (as a state employee). However, Ms. Ball, as we found out, NO ONE can stand in front of your American Dream, but yourself!! And that's why we are at your doorstep; to help us continue that journey with a fair chance either to succeed or fail...whatever the cards holds for us.

The fact that from 2004 to the present we have no money, an old car, no home of our own per se, debts that need to be repaid, and the possibility of losing our patent because we dishonored it by not sending the fees to the tune of thousands of dollars that we simply did not have, can not be the end of this story. Our government employees harmed us critically and now our government agency USPTO wants to dismiss that our reason for not paying our patent fee is *not* of a human interest circumstance. This is what has

brought us to your front door, we seek your help in renewing our patent that became a long life's work.

Ms. Kahler and her attorneys are responsible for our demise, as well as our own attorney, who turned out to be an alleged drug addict, Att. James Currier from Providence, R.I. . We also allege Att. Currier conspired to sabotage this case for the money to support his mounting drug bills. When Attorney Zigler (Ms. Kahlers att.) discovered through deposition that his client was a pathological liar, he was in too deep to get out of the case. We truly believe that monies owed to her attorney to go to trial, would best be served to give to Mr. Currier to withdraw from our case just weeks before trial. This entire case is documented with a time line for your review. Interestingly enough, within our present company arrangement we have as a consultant, the attorney who took our case after the departure of Mr. Currier. He surely can substantiate our claims herewith, with the exception of our claims of malfeasance on the part of the lawyers. I do not speak for the consultant in that regard.

The case was settled in 2004 with an agreement that we maintain possession and ownership of the patent and Ms. Kahler could pursue *using* the patent and product for sale, if, within five years of the settlement the Kuptzins have not furthered the interest of the company. To date Ms. Kahler has made no attempt to contact us or pursue the sale/marketing of Chainmate (the products name).

In summary, Ms. Kahler left us broken, broke, and sadly enough, caused Ronald to have a mental breakdown during this process that hospitalized him with severe depression. The actions of a person have such a ripple effect that the perpetrator can not fathom the consequences. I have said many times over the years that Ms. Kahler not only broke the law of the U.S. Government and the State of Connecticut, but she broke the law of God and committed a mortal sin against God and man. "Thou shall not bear false witness against thy neighbor". There is a reason that God made that one of His laws...to prevent the pain and agony that Ms. Kahler thrust upon two good people just trying to succeed. To this end, the periods of time that the United States Patent Office required fees to be paid to maintain our precious patent and lives work, could not be paid without giving up eating. The period in time of March 2006 to March 2007 and March 2007 to March 2008 is in question by the Patent office. During this period in time we were living hand to mouth and Ronald also suffered a heart condition that laid him up for a period of time. I then suffered a major hemorrhage in my eye that forced me to quit the job I had just started. We literally were bankrupt and starving. We have *many* witnesses to this fact and you are free to interview anyone you wish to speak with concerning our representations.

We tried to use the Ethics Committee of The State of Conn., but unfortunately the Committee at the time was going through its own ethics questions. Our only remedy to this date was the investigation by former Attorney General Richard Blumenthal and the past President of UCONN who found Ms. Kahler in breach of her contract due to my communication with the AG. The result was that my alleged claims were true and Ms. Kahler was subsequently dismissed from all her duties at the SBDC of the State of

Connecticut, as well as her teaching jobs. That should be proof enough to give our account, herewith in, credibility and a great starting point in seeking justice if not just the patent returned to good standing with all the fees now recently paid in full! (\$2,830)

They say that if you never quit fighting for what you believe in, you will win. We have not quit fighting and we *WILL* win with your help. We believe that our Federal/State government agencies and its officers are our "parents" and that they are there to protect us from these types of injuries and injustices. We call upon you now to come to our much deserved and earned aid for the good of our future. Not to mention the potential tax revenues and jobs created by our successful manufacturing operations in the state of Connecticut. After all, isn't it true that the small businesses of America are the backbone of our nation? And isn't it true that now *more than ever before* we need to create jobs and industry?

In conclusion, the above is a brief synopsis of the over 28 years of our dedication, perseverance, joy, pain, incredible expense and sacrifice. We humbly request of you Ms. Ball to consider the vast amount of money, work, and years of dedication to secure a US Patent when making your final decision. If you require any further information and/or documentation from us to render a favorable decision, please don't hesitate to request it of us and we will have it on your desk ASAP.

Thanking you in advance.

Respectfully.

Ronald S. and Cynthia G. Kuptzin

27 Rossie Street
Mystic, Connecticut 06355

860-245-5952 (home)
860-701-8254 (cell)

RICHARD BLUMENTHAL
ATTORNEY GENERAL



55 Elm Street
P.O. Box 120
Hartford, CT 06141-0120

Office of The Attorney General
State of Connecticut

(860) 808-5318

May 25, 2004

Mr. & Mrs. Ronald Kuptzin
27 Rossie Street
Mystic, CT 06355

Dear Mr. and Mrs. Kuptzin:

Thank you for informing me of your concerns that the counselor employed by the Connecticut Small Business Development Council (CSBDC), a program of the University of Connecticut, acted improperly, resulting in a severe financial loss to you. You report that Ms. Louise Kahler was your CSBDC counselor, and then became an officer and investor in your business, which failed because of her lack of expertise, and that Ms. Kahler is now suing you for the return of her investment. You also state that Ms. Kahler must "have signed a conflict of interest agreement with the SBDC which prohibits her involvement in any business that agency provides counseling to."

In light of the serious nature of your allegations, I have asked the Auditors of Public Accounts, who have responsibility for initial review of complaints of wrongdoing by state employees, along with President Philip Austin of the University of Connecticut, to investigate this matter and take whatever action may be appropriate. I have informed him that I will provide any necessary legal advice or support.

Thank you for bringing this matter to my attention.

Very truly yours,


RICHARD BLUMENTHAL

RB:JR:sd